



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 10/043,800 | 01/10/2002 | Kamalendu Biswas | OR01-15901 | 9085 |

51067 7590 05/19/2005

ORACLE INTERNATIONAL CORPORATION
c/o A. RICHARD PARK
2820 FIFTH STREET
DAVIS, CA 95616-2914

EXAMINER

COFFY, EMMANUEL

| ART UNIT | PAPER NUMBER |
|----------|--------------|
|----------|--------------|

2157

DATE MAILED: 05/19/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

| | | | |
|------------------------------|-------------------------------|-------------------------------|--|
| Office Action Summary | Application No. 10/043,800 | Applicant(s) BISWAS ET AL. | |
| | Examiner Emmanuel Coffy | Art Unit 2157 | |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 13 March 2005.
2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
4a) Of the above claim(s) 2, 10 and 18 is/are withdrawn from consideration.
5) ☐ Claim(s) _____ is/are allowed.
6) ☒ Claim(s) 1-24 is/are rejected.
7) ☐ Claim(s) _____ is/are objected to.
8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

Response to Amendment

1. This action is responsive to the amendment filed on March 13th, 2005. Claims 1-24 represent a "Method and Apparatus to Facilitate Individual and Global Lockouts to Network Applications." Claims 1, 3, 4, 9, 11, 12, 17, 19 and 20 are amended. Claims 2, 10 and 18 are canceled. Claims 1-24 are pending.

Response to Arguments

2. In response to the denial of priority benefit request articulated in the last office action, applicant made reference to application serial number 60/316,808 pages 5-6 section titled "IP AND GLOBAL LOCKOUT TO PREVENT BRUTE FORCE (REPEATED) ATTACK ON PASSWORD BASED AUTHENTICATION". Upon review of said application it was found that application serial number 60/316,808 is a document of 44 pages titled "Security Mechanisms in a Network Environment" made up of the following sections: Overview (p.1), Global Timeout in Web Based Environments (p.2 and p.4) background, details, advantages, Architectural Document for Extensible (p.7) Login server (p.8) preface, abstract, overview, introduction, design approach, writing modules for integration, interfaces, case studies in integration, integration w/Netegrity Site Minder (1, 1.1; 2, 2.1, 2.2, 3, 3.1, 4, 4.1 – sections numbering respectively), whereas on January 10, 2002 Applicant filed the specification entitled: "Method and Apparatus to Facilitate Individual and Global Lockouts to Network Applications" containing 10 pages. The later-filed application must be an application for a patent for an invention which is also disclosed in the prior application (the parent or original nonprovisional application or provisional application); the disclosure of the invention in the parent application and in the later-filed application must be sufficient to comply with

the requirements of the first paragraph of 35 U.S.C. 112. See *Transco Products, Inc. v. Performance Contracting, Inc.*, 38 F.3d 551, 32 USPQ2d 1077 (Fed. Cir. 1994).

Consequently, priority is denied. Applicant is invited to ascertain the equivalency of these two documents both in form and substance.

3. Applicant's articulation of the virtues of the amended claims has been considered. However, these arguments are moot in view of the new ground(s) of rejection. Applicant is advised that only the amendments are addressed.

The dependent claims stand rejected as articulated in the First Office Action and all objections not addressed in Applicant's response are herein reiterated.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1, 9, and 17 are rejected under 35 U.S.C. §103(a) as being unpatentable over Rowland (US 6,405,318) in view of Ruvolo (US 5,928,363) and in further view of Durinovic-Johri et al. (US 5,699,514.)

Rowland teaches the invention substantially as claimed including a computer implemented intrusion detection system and method that monitors a computer system in real-time for activity indicative of attempted or actual access by unauthorized persons or computers. (See abstract).

Claims 1, 9, 17:

As for above claims Rowland teaches a method, a computer-readable storage medium and apparatus to facilitate locking an adversary out of a network application, comprising: (See Fig. 3)

receiving at a server a request, including an authentication credential, to access the network application, wherein the authentication credential includes a user identifier associated with a user and a network address of a user device;

examining an audit log to determine if the user identifier has been locked out from the network address; and (See col. 4, lines 15-25.)

if the user identifier has been locked out from the network address,

denying access to the network application; (See col. 7, lines 32-37.)

otherwise, checking the authentication credential for validity, and

if the authentication credential is valid, (See col. 8, lines 52-60.)

allowing access to the network application,

otherwise,

logging a failed attempt in the audit log, wherein the

user identifier is locked out from the network address after

a threshold number of failed attempts, and (See col. 7, lines 37-40.)

imposing a global lockout for the user identifier after a threshold number of

network addresses are locked out of the user identifier; and

denying access to the network application; (See col.8, line 1.)

whereby the adversary is prevented from accomplishing an attack by masquerading as the user.

Art Unit: 2157

Rowland does not specifically address receiving at a server a request, including an authentication credential, to access the network application. However, Ruvolo discloses a client establishing a first session with an application executing on a server. (See col. 4, lines 31-34, 57-60.)

Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to combine the intrusion detection system taught by Rowland with receiving at a server a request as taught by Ruvolo preventing an unauthorized user from gaining access by locking said user from the system.

Neither Rowland nor Ruvolo refer to a lockout. However, Durinovic-Johri specifically discloses a first threshold, a second threshold and lockout. (See abstract – see also col. 2, lines 60-64 and col. 5, lines 52-57.)

Rowland, Ruvolo and Durinovic-Johri are analogous art because they all deal with access control to resources. Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to combine the intrusion detection system taught by Rowland and receiving at a server a request as taught by Ruvolo with the access control system with lockout disclosed by Durinovic-Johri by improving security in an access control system of the type that provides for lockout after a predetermined number of failed access attempts, while retaining a high degree of user friendliness.

Claims 3, 11, 19

As for above claims Rowland teaches the method of claim 2, the computer-readable storage medium of claim 10, the apparatus of claim 18 further comprising: removing a lockout after a predetermined period of time.

Rowland does not specifically address removing a lockout after a predetermined period of time. However, Ruvolo discloses reauthentication process at the "End of Authenticated Session" which implies that the lockout is constructively removed after a predetermined period of time. (See col. 8, lines 5-28.)

Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to combine the intrusion detection system taught by Rowland with the reauthentication process as taught by Ruvolo trapping an unauthorized user by lulling the persistent user into an extended session.

Claims 4, 12, 20

As for above claims Rowland teaches the method of claim 2, the computer-readable storage medium of claim 10, the apparatus of claim 18 further comprising: manually removing a lockout by an administrator of the server.

Rowland teaches that the system administrator may also select the actions to be taken by the control function. (See col. 8, lines 32-33.)

Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to manually remove the lockout as taught by Rowland.

Claims 5, 13, 21

As for above claims Rowland teaches the method of claim 1, the computer-readable storage medium of claim 9, the apparatus of claim 17 wherein the authentication credential includes a user name and a password.

Rowland does not specifically address the authentication credential to

include a user name and a password. However, Ruvolo expressly discloses authentication credential to include a user name and a password. (See col. 7, lines 32-36.)

Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to combine the intrusion detection system taught by Rowland with the authentication credential as taught by Ruvolo providing security to the system by allowing access only to authenticated users.

5. Claims 6, 14, 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Rowland as applied to claims 5, 13 and 21 above, in view of Limisco (U.S. 6,662,228).

As for above claims Rowland teaches the method of claim 5, the computer-readable storage medium of claim 13, the apparatus of claim 21 wherein checking the authentication credential for validity involves:

verifying that an administrator has authorized access to the network application for a combination of the user name and the password; and
determining if the request violates an access rule in a rule table.

Rowland does not specifically address verifying whether an administrator has authorized access. However, Limisco expressly discloses verification of authorized access for an administrator. (See col. 6, lines 28-37 and col. 3, lines 23-32.)

Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to combine the intrusion detection system taught by Rowland with the administrator's verification system as taught by Limisco allowing the system to be administered since user accounts must be created and manipulated.

6. Claims 7-8, 15-16, and 23-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Rowland as applied to claims 6, 14 and 22 above, in view of See et al. (U.S. 6,339,830).

Claims 7, 15, 23

As for above claims Rowland teaches the method of claim 6, the computer-readable storage medium of claim 14, the apparatus of claim 22 wherein wherein the access rule can specify:

- an allowed time-of-day;
- an allowed number of access attempts;
- an allowed network address; and
- an allowed network domain. (See col. 6, line 35.)

Rowland implicitly encompasses network domain. (See col. 6, line 35.) Rowland does not explicitly disclose allowed number of access attempts nor does it expressly teach allowed network address. However, See pointedly teaches these limitations at col. 6, lines 44-56.

Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to combine the intrusion detection system taught by Rowland with the authentication service taught by See allowing the system to be thorough by providing different parameters to check the authentication credential for validity.

Claims 8, 16, 24

As for above claims Rowland teaches the method of claim 1, the computer-readable storage medium of claim 9, the apparatus of claim 17 wherein the network address includes Internet Protocol address.

Rowland does not explicitly disclose Internet Protocol address. However, See pointedly teaches Internet Protocol address at col. 8, lines 1-2.

Hence, it would have been obvious at the time of the invention for an artisan of ordinary skill in the art to combine the intrusion detection system taught by Rowland with the authentication service taught by See allowing the system to be encompassing by reaching through the Internet.

7. THIS ACTION IS MADE FINAL.

Applicant's amendments necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

Art Unit: 2157

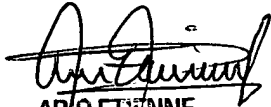
8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Emmanuel Coffy whose telephone number is (571) 272-3997. The examiner can normally be reached on 8:30 - 5:00 P.M.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ario Etienne can be reached on (571) 272-4001. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Emmanuel Coffy
Patent Examiner
Art Unit 2157

***EC
May 7, 2005


ARIO ETIENNE
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100